

Music Division
Acquisitions & Processing Section

PROCESSING
PROCEDURES
MANUAL

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Preface

The processing of special collections in the Music Division has two primary goals: to preserve the collection materials and to make them accessible to patrons who use the resources of the Music Division. This Processing Procedures Manual is designed to facilitate the processing of special collections by addressing both theory and practice--both how to arrange, preserve, and describe archival materials and why it should be done as recommended. Where possible, standard archival practices have been prescribed, but some specialized procedures have been recommended to address the more particular concerns of music-related collections.

The manual is divided into three main sections to address the three basic stages of processing a collection: (1) the planning stage (including establishing an arrangement system and preparing a workplan); (2) the physical processing of the materials (from preservation to final housing); and (3) the preparation and distribution of a finding aid to the collection. A table of contents outlining the sections of the manual and an index to significant terms provide two different types of access to this document's contents. Appendixes contain: sample completed workplans and finding aids (Appendix A); lists of musical instruments (Appendix B); a glossary of both archival and preservation terminology (Appendix C); and a perpetual calendar (Appendix D).

This manual is the work of a number of staff members of the A & P Section: Michael Ferrando, Wilda Heiss, Kathleen Kelly, Kevin LaVine, Robert Saladini, Joel Sorensen, Raymond White, and Claudia Widgery. Ms. Widgery chaired the committee which drafted this manual; Mr. White chaired the editorial committee which also reviewed comments from the entire Music Division staff and produced the revised version of this manual. This manual was originally completed in December 1994 and revised and updated in December 1995.

0. INTRODUCTION : BASIC ARCHIVAL PRINCIPLES

"Archival processing is based on the principles of provenance, original order and collective description. . . . In addition, American archivists have developed the concept of levels of control over records as a way of managing arrangement and description."

Fredric M. Miller, *Arranging and Describing Archives and Manuscripts*, 1990, p. 19.

0.1. PROVENANCE

Provenance is defined as a source or place of origin. In modern archival usage, the provenance of a collection is determined by the organization or individual that created, accumulated, maintained, and/or used the materials prior to their transfer to a records center, archives, or manuscripts repository. The principle of provenance of archival materials dictates that documents from one source not be intermingled with those from another. This tenet, known as *respect du fonds*, was first applied to governmental archives and prescribes that documents created by one office be maintained as a unit, separate and distinct from the records of other offices. The principle is now applied in manuscripts repositories as well; thus, materials from multiple sources are not generally intermixed, even if they comprise similar documents on similar subjects.

Most of the collections of corporate records or personal papers in the custody of the Music Division are said to be of a single provenance—that is, each derives from a single source. Such collections were transferred to the Library as discrete units and are arranged and described accordingly. However, there are also collections which are defined more by subject than provenance, consisting of materials from a variety of sources; sometimes these are termed "artificial collections." In such cases it is well to maintain a distinction between materials of one provenance and those of another.

0.2. ORIGINAL ORDER

The original order of an archival collection is the arrangement that was established during the process of creating or accumulating the documents. Corporate records are often transferred to an archives or manuscripts repository in their original order; this is sometimes the case with personal papers. The original order should be preserved when that order is intact, or nearly so, and will be useful to researchers. This is the case for three reasons: (1) the original order preserves the evidential significance as to how the records were used as well as the relationships of one document to those which surround it; (2) the documents will "fit" into the original system more readily than any other system which might be devised; and (3) staff time and effort are saved if collections are not to be rearranged.

The concept of original order of an archival collection has two aspects: the major segments of the collection (e.g., correspondence files, subject files, and legal files, known as series) and the internal organization of those segments (e.g., chronological, alphabetical, etc.). Only under the most unusual circumstances would one combine materials from various series. Occasionally, however, it may be desirable to rearrange within a series (e.g., combining a number of small groupings of photographs into a single alphabetical sequence) or to re-order the contents of existing file folders (e.g., placing documents in alphabetical or chronological order). This can be time-consuming and therefore is not suggested if the materials are in an arrangement which, although not optimal, does provide adequate access for

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researchers. An index can be created if necessary to resolve ambiguities of the original order.

0.3. COLLECTIVE DESCRIPTION

Unlike books, archival documents are generally described collectively, rather than individually. Since the meaning of any single document ordinarily becomes most clear in the light of its context (i.e., its surrounding materials), the goal of collective description is to provide a comprehensive summary of each series and its place within the collection as a whole. Thus, the finding aid is designed to tell the researcher what kinds of materials are present, in what quantities, and how they may be located, rather than to provide detailed descriptions of specific documents (e.g., whether there may be a letter of a certain date on a certain subject). It has been observed that emphasis on individual components at the expense of the entire collection may tend to obscure the intrinsic importance of the whole.

For most series in a collection, the contents of folders or even entire boxes will be summarized. A notable exception to this is that music materials (particularly music manuscripts) are often described individually (or, "at the item level"). In either case, the finding aid will contain a summary description of the collection in the form of a Scope and Content Note (see 3.1E) as well as a separate description of each series (see 3.1F). The entire collection will be represented in the Library's online catalog by single collection-level record which will mention only the highlights of the collection and which will refer the reader to the finding aid.

0.4. LEVELS OF CONTROL

The result of arrangement and description of archival materials is said to be intellectual and physical control. Thus, the finding aid describes the materials constituting a collection and the kinds of information they contain (bringing the collection under "intellectual control") and provides a means for locating specific documents ("physical control"). This concept was articulated by archivist Oliver Wendell Holmes in terms of five levels, grouping and describing sets of records, working progressively from the largest or most general to the smallest or most specific. In a repository such as the Music Division, these five levels may be represented as arrangement at (1) the repository level (i.e., dividing the repository's holdings into a few major groupings according to type, subject, etc., chiefly for administrative purposes); (2) the collection level (i.e., the identification and ordering of individual collections); and within each collection, arrangement at (3) the series level; (4) the filing unit level; and (5) the document level.

Arrangement at the series level involves identification of the major subdivisions in a collection. A series is a group of documents maintained as a unit because they result from a single filing process or activity; because they share a common format or medium; or because of some other unifying principle.

Arrangement at the filing unit level involves the division of materials within a series into folders or other filing units and the placement of these filing units in an appropriate sequence. (Note that this refers to the ordering of the folders themselves and not to the order of the documents within the folders.)

Arrangement at the document level refers to the ordering of individual items within the filing units, generally in an alphabetical or chronological sequence. It is also at this level that preservation work is usually done (e.g., removing metal fasteners, isolating acidic paper, or preservation photocopying).

While all collections are arranged at the series level, arrangement is not extended to the document level or even the filing unit level in every case.

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0.5. CONCLUSION

Archival processing involves the application of the foregoing principles to bodies of corporate records and personal papers. But how does one determine what level of control is appropriate to a given collection and how detailed its description should be? It has been observed that less experienced archivists may be inclined to over-arrange and over-describe archival materials. But it is impossible to establish specific guidelines applicable to each case. Perhaps the best advice comes from noted archivist T. R. Schellenberg who says that we are to preserve the research materials in our custody in such a way that their significance will be apparent and that the evidence they contain will be preserved. And a librarians' maxim might be applied as well: We can't do the researchers' work for them.

1. PLANNING STAGE

1.1. ASSIGNING PROCESSING RESPONSIBILITIES

The head of the Acquisitions & Processing Section assigns an unprocessed collection to a music specialist who becomes the processing specialist for that collection. The processing specialist bears primary responsibility for each phase of the project, from the planning stage through the physical processing to the creation and distribution of the finding aid. The section head and the processing specialist discuss the technician requirements for the project; the section head makes all work assignments.

If another music specialist has particular familiarity with the collection or subject, the section head may arrange for that specialist to serve as a consultant to the processing specialist in the planning stages of the project. In an extraordinary case, if an expert in the field who is not on the Library staff seems an obvious choice as a consultant and the importance of the collection seems to warrant such a consultation, arrangements could be made through the section head to consult that authority.

1.2. BACKGROUND RESEARCH ON THE COLLECTION

1.2A. Collections File

Consult the Collections File to obtain information about the following:

date(s) of acquisition(s);

name(s) of donor(s) or seller(s);

any existing inventory (e.g., container list, shipping register, Exchange and Gift Division evaluation); and

history of the collection and/or background on the generating individual(s) or organization.

1.2B. Exchange and Gift Division, Order Division

If the Collections File information is insufficient, contact the Exchange and Gift Division to consult donor files (for a donated collection) or the Order Division (for a purchased collection).

1.2C. Music Division staff

Ask the Donor Relations Officer or other long-term Music Division staff members for any oral history of the acquisition.

1.2D. Secondary sources

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Consult secondary sources (e.g., encyclopedias, dictionaries, and biographies) for further background information on the generating individual or organization. Take notes; this information will be useful in establishing an organizational system for the collection as well as in writing the front matter of the finding aid. (See 3.1A-F.)

1.3. GATHERING THE COLLECTION MATERIALS

1.3A. Locating the collection

Consult the Special Collections Inventory for the location of the collection. Once the bulk of the collection is located, it should be transferred to a processing area (in whatever increments space allows) for review.

1.3B. Materials separated from the collection

Investigate whether any materials that constitute a bona fide part of the collection have already been cataloged individually (most likely, in classes ML94, 95, or 96) or have been shelved in those locations without a catalog record having been created. (This may have been the case if segments of the collection were sent to the Library over a period of time, or if some materials were separated from the rest of the collection in an attempt to make them more accessible to readers.) Be sure to check all three ML96 shelf locations (i.e., bound, unbound, and folio). It may be necessary to retrieve the cataloged as well as uncataloged items for review and comparison to existing catalog records; always leave a "Material Temporarily Removed From Shelf" marker indicating what has been removed. To verify what has or has not been cataloged, check the following sources: the PARR card catalog and shelflist, the microfiche shelflist, the online catalog (MUMS and PreMARC), and the shelflist in the Special Materials Cataloging Division.

1.3B1. Uncataloged materials

Materials for which no catalog record exists will be processed and housed as part of the collection.

1.3B2. Cataloged materials

In most instances, fully cataloged materials which rightfully comprise a part of a special collection will be left in their cataloged locations. Such materials should be returned to their appropriate shelves as soon as a detailed description of them has been made for inclusion in the finding aid; the finding aid will indicate the shelf number in lieu of a Box/Folder designation. (Note: The foregoing instruction does not apply to materials of a differing provenance from the collection as a whole; for example, Copland manuscripts in the Coolidge Collection may be mentioned in the Copland finding aid but will not be listed as if they were Copland Collection materials shelved elsewhere.)

In very rare instances there may be justification for removing cataloged materials from their current classifications and housing them with the collection. If you believe that such a reclassification is warranted, note the number of items from each classification that you propose be reunited with the special collection materials and the rationale for your decision. Factors to consider include whether the materials were an integral part of the original donation that constitutes the rest of the collection (i.e., donor intent) and whether or not the current classification is accurate. (Note that only materials of the same provenance as the bulk of the special collection may be considered for reclassification.)

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This recommendation will be included as part of the workplan (see 1.6A5) and therefore requires the approval of the Processing Committee. If the decision is made to reclassify cataloged materials, the temporary-removal marker is replaced with a permanent dummy listing the composer or author and title of each item that has been reclassified as well as the name and call number of the special collection. It is the responsibility of the processing specialist to ensure that existing catalog records (including the catalog cards in the PARR, the shelflist in Special Materials Cataloging Division, and the Library's online catalog) reflect this change in classification.

1.3C. Check for completeness

Once all uncataloged materials have been assembled, check those materials (and the list of cataloged items) against the accession records and any existing inventories or acquisition records found in the Collections File or in the E & G files. If any described materials cannot be found, check circulation records in the PARR and consult the reference staff about the missing items' possible whereabouts.

1.4. PREVIEWING THE COLLECTION

1.4A. Review information to be gathered

Before previewing the materials, consult the workplan to determine what sort of information must be gathered regarding the proposed arrangement, housing and preservation needs, and levels of description.

1.4B. Examine each container

Open each container to get a rough idea of:

the type of materials, such as music (manuscript or printed, scores or parts), correspondence, business records, photographs, programs, clippings, etc.;

the approximate quantity of each type (e.g., number of boxes or estimate of linear feet of shelf space which will be occupied after processing); and

the state of the collection (e.g., whether unorganized or partially-organized, in poor or good condition, and any special preservation problems).

Be aware that there may be a variety of materials in each container; do not assume that all of the documents in a container are of the same type as those on top.

1.4C. Maintain the original order of the collection

Do not reorder the materials at this stage, as significant original order might be lost.

1.5. ESTABLISHING AN ARRANGEMENT

1.5A. Basic principles of arrangement

1.5A1. Goal

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The objective which guides every phase of arrangement is to facilitate reader access by making the contents of the collection as a whole clear to a researcher and making individual items as easy to find and refile as possible. Work towards this goal must take into consideration both original order that provides significant information about the collection's contents and the practical concerns of time and staff availability. (See 0.2.)

1.5A2. Intellectual vs. physical order

Intellectual order connotes a logical hierarchical arrangement of elements within a collection and should be reflected in the sequence of entries in the finding aid. The physical order of materials in a collection may not be the same as the intellectual order, owing to variations in size and format, but such discrepancies are easily resolved by the box and folder numbers in the container list.

1.5A3. Hierarchical organization

The organization of materials in a collection should always move from the broadest category to the narrowest. The final organizational principle to be applied is usually either the alphabet or chronology, but the first and intermediate bases for organization can vary widely from series to series and collection to collection. Some of the more common systems for series organization are discussed below (see 1.5D).

1.5B. Choosing the series

A series is the first level of organization to be applied to a collection. Grouped under one series name are materials of a common type, with a common function, or relating to a common activity. Frequently-used series designations include:

Artwork	Journal Articles	Photographs
Biographical Materials	Journals and Magazines	Programs
Books	Legal Papers	Realia
Clippings	Librettos	Scrapbooks
Correspondence	Lyric Sheets	Subject Files
Financial papers	Music	Writings
Iconography		

Series designations should be as specific as possible. Standard series terms are desirable, as they are likely to be meaningful to most readers. However, any given collection might have series unique to that particular collection such as the files of a corporation or institution with which the originator was closely associated or the personal papers of a spouse. Thus, other series designations may be devised as needed.

If a collection consists solely of one type of material (e.g., music or correspondence), then subdivisions which would ordinarily be designated as subseries (e.g., original compositions and arrangements, or business correspondence and personal correspondence) may become series (see 1.5D).

1.5C. Series order

Intellectual order of series within collections varies and rarely is there only one right solution. However, two general principles that must be balanced in the consideration of series order are that:

materials closer to the originator or originating organization should precede those that have a less personal or more tangential connection and

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series of greater relative importance should precede those of less significance to a collection.

1.5D. Arrangement within each series

As noted earlier, the original order of a series should be maintained if it is evident, intact, and useful for research. If the original order is no longer evident, if the original order is so idiosyncratic as to warrant rearrangement, or if there never was any order, then an appropriate scheme must be devised.

Subdivisions within a series (known as subseries and sub-subseries) are sometimes desirable. Such subdivisions should be made only if they can significantly clarify the collection's contents or simplify locating specific documents. The minimum number of subdivisions necessary for clarity is advisable.

1.5D1. Music

Subseries for music may be designated if original compositions are to be distinguished from arrangements (which is often the case); if works by the creator of the collection are to be distinguished from works by other composers; or if distinctions of format, form, and/or medium of performance are to be made.

The entries in the series (or subseries) for music are usually arranged alphabetically by composer and title. Manuscript and printed materials are usually distinguished from one another, with the manuscripts for a given title listed first, on the assumption that manuscripts, which are unique, are of greater interest to many researchers. It is not possible to prescribe an invariable order for manuscripts for a given title, because of the wide variety of types of materials which may be encountered. In general, the preferred order is: full score, short score and/or sketches, and instrumental and/or vocal parts. In addition, there are three principles which may conflict with each other and which must be balanced when ordering the manuscripts for a work:

- 1) composer's holograph manuscript(s) precedes those of an orchestrator or copyist;
- 2) the final version precedes earlier versions or drafts; and
- 3) the most complete materials precede the least complete (e.g., a complete manuscript precedes that for a single movement or selection, or a fragment).

If an additional access point seems necessary for locating materials within the collection, an index (e.g., to titles in the collection) can be added as an appendix to the finding aid.

1.5D2. Correspondence

The most frequently used correspondence subseries are divisions according to the nature of the correspondence (e.g., general, business, or personal correspondence). Less common are distinctions between "letters sent" and "letters received." Generally, the latter subseries are maintained only if they reflect the original order of the correspondence.

Correspondence is usually arranged alphabetically by correspondent and, sometimes, chronologically thereafter; very occasionally, a strict chronological order may be followed.

Envelopes may be retained with the correspondence which they enclosed.

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1.5D3. Programs

If arrangement is warranted, programs may be organized according to a number of different criteria including chronology, performer(s), works performed, and location of performance (e.g., by institution, city, or country). The order and combination of these criteria are determined both by the nature and quantity of the programs and by their relation to the collection as a whole.

1.5D4. Iconography/Photographs

Iconography is the generic term for pictorial materials. Photographs constitute most of the iconography in Music Division special collections, but images in other media may be present as well: paintings, drawings, lithographs, engravings, etc. If the iconography in a collection consists solely of photographs, then the series is designated, "Photographs." If other pictorial materials are also present and they are similar to the photographs in subject, format, or other characteristics, then the series may be designated, "Iconography," and subseries created for various media: photographs, lithographs, drawings, etc. However, if the non-photographic items are few in number, large, framed, or otherwise physically and/or intellectually dissimilar to the photographs, then it may be preferable to include them in a separate series of "Artwork." If the non-photographic iconography consists, for example, of only one framed painting, it might be preferable to include it in a series of "Realia." (See 1.5D11.)

Photographs are most commonly sorted by subject (e.g., Kreisler alone, Kreisler with others, Kreisler playing the violin, Kreisler's home, other violinists) and chronology. Further subdivisions are made only rarely, by elements such as type of photograph, photographer, etc. Non-photographic iconography (e.g., paintings, drawings, engravings, lithographs, etc.) may be sorted by medium.

It may be necessary to subdivide by format as well—owing to housing considerations. This should not be confused with the intellectual organization of the series/subseries of photographs. (See 1.5A2.)

1.5D5. Scrapbooks

Scrapbooks may be arranged chronologically, by subject, by number, or alphabetically (if there are titles), or a combination of these schemes. After an arrangement is selected, all scrapbooks should be numbered consecutively in a single sequence.

1.5D6. Books

Books that form an integral part of the collection and/or have significant annotations or inscriptions are arranged alphabetically by author and title. (In rare instances, books may be cataloged as part of the special collection.)

1.5D7. Journal articles

Multi-page articles (as opposed to clippings) are generally arranged alphabetically by author and title.

1.5D8. Journals and magazines (complete)

Complete journals and magazines may be arranged chronologically or, rarely, alphabetically by title. If careful scrutiny of the publication enables you to identify with certainty the article(s) which prompted the publication to be saved, the pertinent material can be removed (or photocopied) from the publication and the remainder discarded once a citation (periodical title, volume, and date) has been recorded.

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1.5D9. Clippings

Only in a very exceptional case is an organizational system imposed on unorganized clippings. If clippings are to be arranged, they are generally sorted chronologically (only by year or decade).

1.5D10. Other textual materials (e.g., Biographical Materials, Writings, Subject Files, Legal Papers, Financial Papers, etc.)

Original order is the primary organizational principle for these types of textual material. Where original order does not determine a series' organization, the following guidelines may apply.

1.5D10a. Biographical materials often comprise a collection of disparate types of documents (e.g., diaries, appointment books, resumes, etc.). They are perhaps best ordered from the most significant or relevant to the least.

1.5D10b. Writings are frequently divided into subseries of (1) writings by an individual and (2) writings about him/her by others. The subseries usually follow an alphabetical author/title arrangement.

1.5D10c. Subject files, by definition mixed-format materials already organized by subject, are almost never rearranged.

1.5D10d. Legal papers and financial papers can often be grouped by type of document (such as citizenship papers, deeds, litigation, ledgers, check stubs, etc.) and thereunder by chronology; original order is frequently a determining factor for such series.

1.5D11. Artwork and Realia

Artwork and realia (three-dimensional artifacts) are usually somewhat tangential to collections in the Music Division and can rarely be classified by the usual organizational principles of alphabet or chronology. Subject grouping is possible, and medium of artwork or type of object are often valid criteria for ordering large numbers of such items. Intellectual order takes precedence in the container list over physical arrangement dictated by special housings.

Conservators in the Conservation Office may be consulted to determine whether special preservation measures are needed for artwork and realia.

1.5D12. Lyric sheets and Librettos

Lyric sheets and librettos are generally treated as part of the music series, and are arranged and described under the music titles to which they relate. (They usually follow the manuscript scores and sketches; they may precede or follow other music materials.) If there are lyric sheets or libretti for which scores are not present, it may be well to create a separate series for these materials. If they represent the work of various lyricists, they may be arranged alphabetically by lyricist and thereafter, alphabetically by title. If all are the work of the same lyricist, they may be arranged alphabetically by title.

1.6. PREPARING AND SUBMITTING A WORKPLAN

A workplan form has been created to standardize both the workplan itself and the way in which collections are arranged and described. (See Appendix A.1.) The workplan form is a handy means of

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recording and submitting the processing recommendations of the specialist in charge. The following description of the workplan form is intended only as an introduction to the form itself and is not meant to replace the more substantive discussions of arrangement, physical processing, and description found elsewhere in this manual.

The workplan should be completed as accurately as is possible from a pre-processing survey of the collection, but all aspects of the workplan are considered revisable; the specialist should not hesitate to reconfigure the series and their order, revise the estimates of time or technical assistance needed, or otherwise amend initial estimations. However, any significant changes must be promptly submitted to the A & P section head for approval and conveyed in writing to the staff members working on the collection.

1.6A. Completing the workplan form

The workplan form consists of five parts: Collection title, Arrangement, Physical processing, Levels of description, and Cataloged materials.

1.6A1. Collection title

Record the proposed formal title of the collection and any abbreviated form of the formal title. The collection title is determined by donor preference, provenance of the collection, and/or content of the collection. The abbreviated title (which may be used on folder labels) is the shortest form of the title that distinguishes one collection from any other.

1.6A2. Arrangement

List each series and subseries of a collection, their order within the collection, the approximate size of each series, and the proposed arrangement of materials within each series. The organization described here is the intellectual arrangement (i.e., the order in which materials will be listed in the finding aid). The physical arrangement will depend on sizes and varieties of housings, and although the physical arrangement should follow the intellectual order as closely as possible, organizing boxes by size on the shelves will mean that intellectual and physical order are seldom identical.

There are three "sorts" listed on the workplan form. The materials comprising each series are usually sorted more than once, according to successively more precise criteria (i.e., "rough sort" to "fine sort"). The first sort may be by subseries (e.g., separating personal correspondence from business correspondence) or it may be as simple as alphabetization by name. The second sort might be by sub-subseries (e.g., dividing business correspondence into general office correspondence and correspondence relating to a given project), or merely chronological.

Whenever subseries or sub-subseries have differing internal principles of organization, that specific organization should be listed on a separate line of the form (e.g., general office correspondence being organized chronologically and correspondence relating to a given project being organized first alphabetically by corporate name or correspondent and chronologically thereafter). Any unusual features of a series' organization should be noted on the form or on an attached page.

1.6A3. Physical processing

The purpose of this part of the workplan is to record rough estimates of how much technical help will be needed and when, the quantity of boxes and folders that will be needed, and any special preservation

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treatment that will be required. Obviously, these estimates will be rough at the workplan stage, but they are necessary for long range planning for both personnel and supplies.

1.6A4. Levels of description

1.6A4a. Music (manuscript or printed)

The workplan checklist offers two basic levels of description for music: batch and item-level. Item-level description, some form of which will be used for most music materials, is further defined on the checklist by specifying which elements of information will be recorded for each item. Check off only those types of information that will be recorded for the majority of the musical manuscripts or imprints in the collection; exceptions can be described in a brief note. If two or more music subseries will have significantly different levels of description, indicate this on the workplan form by assigning each subseries a letter and notating the appropriate blanks with that letter rather than with a simple checkmark.

1.6A4b. Correspondence

Three possible levels are suggested for the description of correspondence: 1) bulk description, 2) description by correspondent's name only, and 3) description by correspondent's name, with date span and/or number of items included. These suggested levels do not cover other possible ways of organizing correspondence (e.g., chronological) which can be described in a brief note.

1.6A4c. Other non-music materials

Other non-music materials commonly found in archival collections include writings, biographical materials, legal documents, financial papers, subject files, photographs, programs, and scrapbooks. Page 3 of the workplan form provides space for listing the descriptive elements to be included for each series and subseries.

1.6A5. Cataloged materials

If you wish to recommend reclassification of any cataloged materials, list the number of such items and their classification number(s) and explain the justification for doing so.

1.7. ORDERING RUBBER STAMPS

For medium- and large-size collections, rubber stamps are useful for labeling folders with the collection name as well as the series designations. Request a stamp with the collection title in its complete form (e.g., "Jerome Kern Collection") or a shortened form if the full name is lengthy (e.g., "Heineman Collection" for the Heineman Foundation Collection in Honor of Edward N. Waters). The division has stamps for commonly used series (e.g., correspondence, photographs, financial records, etc.); request stamps for any unusual series titles.

1.8. ROUTING AND APPROVAL OF THE WORKPLAN

The workplan is submitted to the head of the A & P Section for review.

The section head, the processing specialist, and the Processing Committee meet to discuss the workplan.

1. PLANNING STAGE

(The Processing Committee consists of music specialists representing both the A & P and Reader Services Sections, selected by the chief of the Music Division.) The committee's task is to review the workplan and to reach a consensus, recommending any changes which they deem necessary. The section head will resolve any differences of opinion. The processing specialist will incorporate into the workplan any recommended changes and create the final draft.

Once a final draft has been approved by the A & P Section head, processing can begin. However, no work will go forward until the workplan has been approved.

1.9. IMPLEMENTING THE WORKPLAN

The A & P Section head discusses the following matters with the processing specialist:

- the schedule for technical assistance (how many people, which people, when needed, and for how long);

- processing space (how much needed, what type of space, where); and

- supply needs (any large quantities of boxes or folders, and any special preservation or housing supplies).

The section head informs all participants in the project as to their involvement, when the work will begin, and where it will be done.

2. PHYSICAL PROCESSING

The physical processing of a collection consists of arranging all of its materials in the order specified by the workplan, placing the materials in appropriate housings, and performing any necessary preservation work. The physical processing is deemed complete only when all materials are properly arranged in appropriately labeled phased containers and the collection is reshelfed.

2.1. SPECIALIST-TECHNICIAN PROCESSING CONSULTATION

The processing specialist schedules a meeting with the technician(s) who will work on the collection. The purpose of the meeting is to introduce the collection--providing some background on its acquisition, subject matter, and contents--and to discuss the workplan. Each member of the team receives a copy of the workplan. Initial work assignments are made.

Any significant alterations to the workplan, approved in writing by the section head, will be distributed and discussed in a comparable fashion as soon as practicable.

2.2. ARRANGEMENT (See also 1.5.)

2.2A. Rough sort

Study the entire workplan before beginning to sort, making note of the series specified. Begin the rough sort by grouping the materials by series. Although the series are usually based on a type of material (such as music, correspondence, photographs, or realia), make no assumptions without checking the arrangement checklist in the workplan. Unpack the material with care, taking note of any special conservation problems that you find. Do not discard any boxes or wrappers until you have captured any pertinent information that they may contain. Also, do not change the order of materials within a given series without checking the arrangement checklist for the appropriate subseries organization.

Do not use new supplies for rough sorting or for temporary housings.

Do not use Post-it notes to label documents; the adhesive on the Post-it may harm the document. If it is necessary to mark any material, it is best to use an acid-free paper strip, either temporarily paper-clipped to the material or inserted as a "flag."

2.2B. Fine sort

Fine sorting is often a process of multiple layers, and may require handling the same documents several times. Always work from the larger or more general levels of organization to the smaller or more specific.

Choose a single series to sort and consult the workplan's arrangement checklist for that series to determine how it will be arranged. Fine sort only one series or subseries at a time. When every item has

2. PHYSICAL PROCESSING

been arranged according to the first principle specified in the checklist, move on to the next smallest level of organization, and so on. Common principles of arrangement include but are not limited to ordering materials alphabetically, chronologically, or numerically. Again, consult the workplan's arrangement checklist to determine which of these methods is specified and in which order.

A chronological arrangement usually begins with the earliest/oldest document and progresses to the most recent/newest. Unorganized materials for which a chronological arrangement is specified will be placed in early-to-late order. Oftentimes, files are accumulated in a reverse-chronological arrangement as each new item is added to the front of a file. In such cases, it may be desirable to reverse the order of the documents; if this is to be done, it will be indicated in the processing workplan.

Because of the Music Division's policy that only two identical copies of any item will generally be retained, it is well to set aside additional duplicate materials when they are first encountered, in order to eliminate unnecessary handling. (Items of which multiple copies may be present commonly include printed matter, photographs, and photocopies.) Each duplicate item should be checked carefully, however, to make sure that no annotations unique to it are overlooked. (See 2.2C3.)

2.2C. Transfer or disposal of collection materials

Several categories of materials that routinely come to the Music Division as part of a special collection are generally transferred elsewhere for permanent retention or disposal.

If the transfer takes place at the time the materials are received in the Music Division, complete a separate Memorandum of Receipt of Material [Form 65-8 (rev. 3/81)], indicating the destination of the transferred materials. If the transfer takes place at a later time, complete a "Disposition of material inappropriate to the collections of this division" memorandum [Form 7-99 (1/81)]. This memorandum is used for materials being transferred elsewhere in the Library, returned to the donor, or discarded through the Exchange and Gift Division. Items transferred may be described collectively (e.g., three transfer-storage boxes of duplicate photographs) or individually (listing individual titles). A list of transferred materials is sometimes placed in the collections file, but is not appended to the finding aid. If the transferred materials are being housed elsewhere in the Library, this is noted in the introduction to the finding aid; discarded items are generally not mentioned in the finding aid.

Library regulations prohibit removal of collections materials (including discarded items) from the Library by staff members for their personal use or for the use of friends or colleagues outside the Library.

2.2C1. Moving-image materials (e.g., film and video tape) and sound recordings

These are transferred to the Motion Picture, Broadcasting, and Recorded Sound Division. If the moving-image materials and sound recordings are relatively few (i.e., no more than two boxes), an inventory is made and the items are then sent to M/B/RS. If you believe that the Library may not wish to keep any or all of such recordings, advise M/B/RS accordingly; they will then dispose of unwanted items. If there are more than two boxes of such items, it is preferable to arrange for a staff member from M/B/RS to come to the Music Division to review the items prior to the transfer.

2.2C2. Printed matter not germane to the collection

Books, music, and other printed items which are not an integral part of the collection but which warrant permanent retention by the Library may be transferred to the general collections of the Music Division or elsewhere in the Library. These may include publications which are not the work of the creator or

2. PHYSICAL PROCESSING

subject of the collection and/or which do not have significant annotations or inscriptions. It may be necessary to consult specialists outside the Music Division to determine whether such items will be retained. These materials may be sent to one of the cataloging divisions for cataloging. A statement of provenance should be stamped or written in pencil on the verso of the title page (e.g., "Gift of . . .," "Bequest of . . .," "From the estate of . . .," or "From the . . . Collection") along with the date of receipt; do not mark such items until it has been determined that they will be retained by the Library.

2.2C3. Excess duplicate items

The Music Division generally keeps only two identical duplicate items. Additional duplicate items are sent to the Exchange and Gift Division for disposal. These may be offered back to the donor, depending upon the provisions of the Instrument of Gift.

2.2C4. Items judged to have no enduring research value

These are also discarded through the Exchange and Gift Division and may likewise be offered back to the donor.

2.3. PRESERVATION AND PHASED CONSERVATION

The preservation and phased conservation procedures described below, although listed consecutively, are generally performed concurrently, either during the fine sort or upon its completion.

Preservation treatment for each type of material in a collection is not addressed in the workplan, but preservation decisions should be made on a series-by-series basis prior to the fine sort. During the rough sort of a given series, the condition of its materials and their relative importance should be noted; preservation treatment is then considered, and the conclusions are communicated to everyone involved in the processing of the collection. Any materials that seem to merit treatment by the Library's Conservation Office must be brought to the attention of the Music Division's Conservation Office liaison. Other music specialists and technicians are not to take materials to the Conservation Office for treatment.

2.3A. Removing fasteners

Fasteners causing damage to the materials should be removed. These may include staples, paper clips, pins, wire, string, etc. However, binding structures (e.g., saddle-stitch stapling) are usually not disassembled. If a fastener is to be removed and if there is a need to keep together in their original order the pages originally fastened, a new stainless steel paper clip can be used, but always with a small strip of buffer paper between the clip and the document. Do not remove a fastener if doing so will cause irreparable damage or change the appearance of the document (e.g., by losing the original location of paste-overs).

2.3A1. Loose-leaf binders and other fastener-type folders

These should be discarded, and their contents housed in acid-free folders or pamphlet binders. If there are significant markings on the covers of such binders, a photocopy of the cover should be made on acid-free paper, and stored with the contents of the binder.

2.3A2. Paper clips and staples

2. PHYSICAL PROCESSING

Rusted paper clips and staples should be removed with a spoon spatula, pulling the teeth of the staple up before removing it from the opposite side. Thick documents are best handled by lifting the bulk of the pages away from the staple on the back before pulling on the staple itself. Never use staple removers on collection material; the teeth of the staple remover may damage the document. To remove a paper clip, hold the back of the clip firmly and pry up the front until the clip is bent sufficiently wide open to be removed with no pressure on the document.

2.3A3. Rubber bands

Remove all rubber bands. Rubber bands that have adhered to material should be cut with scissors and lifted away using a spoon spatula. Residue from the rubber band remaining on the document may be scraped away using a spatula with light strokes and being careful not to damage the paper itself.

2.3A4. Tape

Do not attempt to remove pressure-sensitive tape (e.g., "scotch" and masking tape) unless the adhesive has dried and the ribbon can be removed with no stress on the document. If removing the tape will tear paper fibers, the loose tape should be trimmed away and the remainder left alone. Removal of tape adhered to materials is done only by a conservator, and only for documents of great importance. Tape on photographs should not be removed.

2.3A5. Wax seals

Never attempt to separate documents that are held together by wax seals or other forms of adhesive fixtures. Some are of historical importance and should remain as they are. If removal is absolutely necessary, it must be done by a conservator.

2.3B. Cleaning

2.3B1. Brushes

Cleaning done in the A & P Section is primarily limited to the use of brushes to remove dust and dirt. The condition of the paper being cleaned determines the weight of the brush used. Hake (pronounced HOCK-ay) brushes should be used on most paper objects, but extremely fragile items may require that a brush with finer hair be used. Photographs are dusted only with fine-haired photographic brushes. However, photographs that are damaged, flaking, or showing emulsion damage (visible cracks or flakes) should not be dusted. Coarser brushes may be used for boxes and table surfaces. All work surfaces should be kept clean.

Brushing is done from the center of the page to the outside edge to avoid drawing dust across the entire surface of the page. Brush with light strokes to remove surface dirt with limited stress on the paper.

Never use brushes on friable media (i.e., powdery or flaky pigments that are easily distorted or crumbled, such as pastels, charcoal, or soft graphite). Also, never use a dustcloth on collection material, as it can press the dirt into the fibers and, in the case of photographs, damage the emulsion layer.

2.3B2. Cleaning pads

Cleaning pads should be used only on printed materials that are in good condition. Knead the pad to loosen the powder inside before use; use a circular motion while drawing the pad lightly across the page.

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Any material cleaned with a pad should be brushed thoroughly afterwards to remove any residue from the powder, because the powder is a petroleum-based product and will stain material over time. Never use cleaning pads on photographic or friable material.

2.3C. Unrolling and unfolding

As a general rule, paper-based materials (including photographs, posters, original art, and ceremonial documents) should not be stored rolled or folded. Caution must be used in handling tightly rolled and folded material. If an article resists gentle unrolling or unfolding, it should be left folded or rolled until it can be treated by a conservator. Do not attempt to unroll a photograph. (See 2.3G.) Bring items of this nature to the attention of the processing specialist.

Always unfold material gently. Never force creases backward unless the fibers of the paper are very strong (and then only until the page or corner will lie open unaided) and never re-crease documents. Creases may be flattened by running one's index finger across the opened fold until the page lies open without aid. Bone folders can also be used, but forceful rubbing with a bone folder can leave a burnished mark on the article that is impossible to remove. The bone folder should be drawn lightly across the outside of the crease until the page will lie open unaided. Also, a buffer page placed between the bone folder and the article will minimize the possibility of any marking. Spoon spatulas should not be used to press out creases. The sharp edges of the spatula can easily tear paper and cause damage worse than the original crease.

2.3D. Housing

Most special collection materials can be appropriately housed in standard-sized folders (known as lignin-free, acid-free, and/or document folders) and boxes which are available in the Music Division (see 2.5). Brittle, fold-damaged, torn, or crumbling materials require extra support for safe handling. Document folders which provide support during storage may not provide adequate support for fragile material while it is being used. Custom housings can be constructed in the Conservation Office for exceptional materials. Bring any such materials to the attention of the division's Conservation Office liaison. Alternatives which are available within the Music Division are described below.

2.3D1. Polyester film housings

Polyester film (often known as Mylar) folders, L-seals, sleeves, and encapsulation are used for significant documents in fragile or deteriorated states that require support for safe handling. Polyester film should not be used to house insignificant brittle materials such as clippings, or as a special encapsulation for "healthy" materials.

Do not place multi-page items in a single polyester film folder. This defeats the purpose of polyester, which is to reduce the need for removal of an item from its housing. Also, do not place multiple polyester folders in an outer polyester folder. This structure is awkward to handle and may cause harm to the enclosed document. House multiple polyester folders in a document folder.

Avoid trimming polyester film housings. Instead, use the size closest in dimensions to the article being housed. The edges of a polyester sleeve are heat-sealed, and once they have been cut, they are more susceptible to breaks and tears.

Single leaves should be placed with the lower left corner in the sealed corner of the polyester film L-seal. As with document folders, materials should be placed in polyester that is at least 1/4 inch larger in both

2. PHYSICAL PROCESSING

dimensions than the articles enclosed. It is also good practice to place a buffer page (a piece of acid-free paper) behind extremely acidic, single-sided items to add further protection. Do not use buffer pages for double sided items. Once an item is housed, the outside of the polyester should be wiped with cheesecloth, both to remove hand oils and dust and to set the static seal.

Never use polyester film for friable media. The medium will be attracted to the polyester by the static seal and the image may be distorted or removed.

Old polyester film folders with a taped adhesive seal must be discarded and replaced, because the object enclosed can become adhered to the tape. Polyester folders with heat-sealed edges may be reused, but they must be wiped clean with cheesecloth before re-use.

Encapsulation (i.e., enclosing an item between sheets of polyester and sealing all edges) is a special process requiring equipment not available in the A & P Section. Items recommended for encapsulation should be brought to the attention of the processing specialist.

2.3D2. Pamphlet folders and pamphlet binders

Two other types of housings that provide storage support for fragile materials are pamphlet folders and pamphlet binders. A pamphlet binder is a folded board with three flaps that fold around the enclosed item, suitable for pamphlets, programs, librettos, or unbound manuscripts. A pamphlet folder is a board folder with several scorings at the fold that can accommodate bound volumes of various thicknesses. Pamphlet binders and pamphlet folders can be used either as free-standing housings or within a box.

2.3D3. Unbleached linen tape

Unbleached linen tape can be used to secure pamphlet folders and binders. It can also be tied directly around a bound volume to secure loose covers. Bound volumes are tied securely but without extreme pressure, with a bow located across the head or foredge to facilitate shelving and prevent indentations in the cover. It is also good practice to knot the ends of the tape to prevent fraying.

Do not use linen tape to tie together stacks of loose pages. Unbound, multi-page documents must be housed in folders, pamphlet binders, or phased boxes.

2.3E. Isolating and interleaving

Highly acidic paper materials should be isolated from less acidic materials in order to prevent damage from acid migration. Acidic materials are generally placed in acid-free paper folders.

An item which is found laid in a bound volume and which is to be kept with the volume is placed in an acid-free paper folder and returned to its original location in the volume. No volume should have more than two or three such enclosures.

Sheets of acid-free paper may be interleaved between highly acidic unbound materials housed in folders. In very rare instances, a few sheets of acid-free paper may be interleaved into bound volumes.

2.3F. Photocopying (and discarding)

It is sometimes desirable to photocopy torn, brittle, or fading documents onto acid-free paper and then to

2. PHYSICAL PROCESSING

discard the originals. The question of whether or not to do so must be answered by the processing specialist. Photocopying must be done with care to ensure that the best possible copy is produced if the original is to be discarded.

2.3G. Special requirements: photographic material

Always wear clean gloves when handling photographs and negatives. The natural oils in one's skin are extremely harmful to the photograph's emulsion layer.

Generally, photographs should be separated from one another and stored in acid-free paper folders. Oversized photographs may require heavier-weight document folders.

Photographs that are badly damaged and/or of particular value may be placed in polyester film housings. It is good practice to place a piece of card stock behind the photograph to prevent curling.

Photographs that are rolled or tightly curled should be left as they are until they can be treated by a conservator. Never attempt to unroll a photograph or to press out a curl or crease.

Do not attempt to remove photographs from backing material. This can be done only by a conservator.

Ideally, color photographs should be placed in cold storage to minimize fading.

Negatives (single- or multi-image) should be housed individually in negative envelopes. If it is necessary to place more than one negative in an envelope, a buffer page should be used. Glass plate negatives should be placed in individual negative envelopes and stored vertically with spacer boards inserted every ten to fifteen plates.

Framed photographs or artwork should be removed from their frames when feasible, as the surrounding paper and wood are generally bulky and probably not stable. However, do not remove articles from frames without consulting the processing specialist. In some cases, it will be desirable to keep items in their frames for exhibition or other purposes.

2.3H. Special requirements: scrapbooks

Scrapbooks must be assessed on a case-by-case basis. They may have complex binding structures. Many are over-stuffed. Many contain highly acidic materials (e.g., newspaper clippings); the pages may be highly acidic as well. They are best stored flat, preferably in a box. If long-term storage with little use is anticipated, scrapbooks may be wrapped in acid-free tissue before being placed in boxes. Oftentimes, preservation microfilming is the long-term solution. Interleaving with acid-free paper is a possible short-term measure. Materials of great importance such as correspondence or photographs may be removed by a conservator if the scrapbook is in extremely poor condition and/or will be discarded following microfilming. Consult the division's Conservation Office liaison before proceeding.

2.3I. Special requirements: oversize books

These should be stored flat (to protect the text block and binding), preferably in a box.

2.4. IDENTIFICATION STAMPING

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As a security measure, many of the materials in Music Division special collections are stamped with the official Library of Congress seal. Do not stamp documents until a final determination has been made as to which items will be retained and which will be discarded.

2.4A. Manuscripts (music or non-music, except correspondence)

Single-page manuscripts are stamped on the upper right corner. Multi-page manuscripts are stamped on the first page of writing (upper right corner) and on the last page of writing (at the right of the last writing). Manuscripts in excess of 50 pages are stamped on every 50th page as well (upper right corner). Copyists' manuscript instrumental parts are generally not stamped.

2.4B. Correspondence (hand-written or typed)

Single-page letters, cards, and other items are stamped at the left of the signature if space permits. Multi-page items are stamped at the right of the salutation and at the left of the signature.

2.4C. Bound printed items

Books, scores, and other printed volumes dating from after 1800 are stamped on the title page (at the bottom, centered) and every 50th page thereafter (in the upper right corner). Stamping of pre-1801 imprints requires consultation with the section head.

2.4D. Unbound printed or typed items, excluding correspondence

These are stamped on the first and last pages of the text (upper right corner). Unbound materials in excess of 50 pages are stamped on every 50th page as well (upper right corner).

2.4E. Iconography

Photographs, drawings, prints and reproductions, etc. are stamped on the blank side only.

2.4F. Miscellany

Certificates, citations, diplomas, other calligraphic documents, engraved invitations, calling cards, etc. are generally stamped on the verso.

Clippings, bills, receipts, cancelled checks, etc. are not generally stamped. An exception may be made for documents with important signatures; these are usually stamped near the signature.

2.5. FOLDERING AND BOXING

Most collection materials can be housed in standard-sized folders and boxes. Occasionally, materials with unusual dimensions may require custom housings created by the Conservation Office. Bring any such materials to the attention of the division's Conservation Office liaison.

2.5A. Foldering

Most collection materials are stored in folders. Letter- and legal-size folders are scored to allow space for varying thicknesses of material. They should be creased appropriately to prevent unnecessary

2. PHYSICAL PROCESSING

pressure on the enclosed documents and to lend them maximal support. Unscored folders may be creased up to 1/2 inch. Bone folders are excellent for creasing folders.

Folders should never be overfilled; this causes stress on the contents. A folder should rarely exceed a thickness of 1/2 inch; if the folder bulges when resting on its bottom edge, it is too full.

A folder should be at least 1/4 inch larger in both dimensions than the material it houses. Edges of a document must never extend beyond the folder. Therefore, before choosing a folder size for a given series of the collection, check the materials carefully to determine the largest size needed; legal-size folders and boxes are recommended for most correspondence series.

Items should be placed in folders with the left side or bottom of the page in the crease of the folder. Items should be centered in the folder when possible.

2.5B. Labeling folders

Each folder should be labeled with the collection name, the series name, the subseries and sub-subseries name (if applicable and if space permits), the folder contents, and the box/folder designation. Folders are labeled with a combination of rubber stamps and handwritten information. Take care to stamp folders neatly and to print all information in neat, legible, block letters that are consistent within the collection. Use a No. 2 pencil to label folders. Never use a pen or marker on folders; most modern ink is acidic. Correspondence folders are labeled from left to right across the reinforced tab at the top in the following order: collection name, series, subseries, sub-subseries, and folder contents. The box/folder designation is stamped on the front flap of the folder below the folder contents on the far right.

Folders housed in flat (sheet music and oversize) boxes are labeled along the edge that will face the drop-front of the box. In the case of sheet music boxes, the labeling information will usually appear along the bottom (the "foot") of the folder; oversized folders will usually be labeled along the creased edge. Labeling information should appear in the same order as on the correspondence folders above, leaving half an inch of blank space on either edge. The box/folder designation is stamped on the far right (above the folder contents, if necessary).

Personal or corporate names are given with the filing element first. Thus, personal names are inverted (e.g., Gershwin, George); corporate names are not (e.g., Irving Berlin Music Corp.). Titles with initial articles are not inverted, although the article is disregarded when filing.

2.5C. Boxing

Boxes must never be overfilled. Folders in a correspondence box should stand vertically without leaning, but should not fill the box so tightly that removing and replacing them is made difficult. If the sides of a correspondence box bulge, it is too full. In the case of the flat sheet music and oversize boxes, the top of the box should rest on the edges of the bottom.

Boxes should not be underfilled, if this can be avoided. If not, an acid-free spacer board should be used to prevent leaning and assure that the contents do not shift within the box.

Box numbering is determined by the size and type of box rather than the intellectual order of the contents. Consecutive numbering of boxes of the same size will facilitate the searching process and make economical use of shelf space. The box number designations in the finding aid will not suffer by being non-sequential.

2. PHYSICAL PROCESSING

Allow space in the first box for a copy of the completed finding aid. Bear in mind that if the collection is large, the finding aid will likely be lengthy.

2.5D. Labeling boxes

Box labels are generated by designated staff members and can be ordered using the Request for Collection Labels form (see Appendix A.3).

Labels are printed on acid-free paper and applied with a glue provided by the Conservation Office. Standard commercially-available adhesive labels are not used because most are not archivally sound and their adhesive usually does not last.

Boxes containing materials that are restricted, extremely fragile, or otherwise awkward for handling should have labels that are annotated accordingly.

2.6. RESHELVING THE COLLECTION

2.6A. Reshelving

Reshelve the collection as soon as the final housing is completed and the container list data have been recorded. The processing specialist should consult with the appropriate staff member to determine where the collection will be reshelved; if space allows, it should be reshelved in its former location.

Boxes should be placed on the shelf in as compact a manner as possible; shelves in stack areas can be adjusted up or down to leave less space between the top of a box and the bottom of the shelf above it.

2.6B. Recording the location of the collection

Annotate the labels at the ends of both the old and new locations of the collection to reflect the move.

Provide the new shelf location to the staff member responsible for updating the automated Special Collections Inventory. Add the new shelf location to the hard copies of the Special Collections Inventory in the black notebooks both at the PARR desk and in B09.

3. PREPARATION AND DISTRIBUTION OF THE FINDING AID

3.1. CONTENTS OF A FINDING AID

Fuller descriptions of the elements of a finding aid are found in *Inventories and Registers: A Handbook of Techniques and Examples* (Chicago: Society of American Archivists, 1976) and David B. Gracy II *Archives & Manuscripts: Arrangement and Description* (Chicago: Society of American Archivists, 1977).

3.1A. Cover page

The cover page should contain the following information:

Line: Guides to Special Collections in the Music Division of the Library of Congress

Line: Two hard returns.

Line: [the collection name (bold and upper case)]

Line: Two hard returns.

Line: LIBRARY OF CONGRESS WASHINGTON [Year: YYYY]

3.1B. Table of contents (optional)

A table of contents is generally included only if the finding aid is lengthy; it follows the cover page. It should give a page number for each element of the introductory matter (in lower case roman numerals), each series and major subseries of the container list (arabic numerals), and any cross-reference lists, indexes, or other end matter (also arabic numerals) in a column at the right of the page with leaders from content to page number.

3.1C. Introduction

An introduction provides a brief statement regarding the provenance of the collection. It generally includes information regarding how the Library acquired the collection, from whom, and when. Identify any restrictions on access or copying, but without naming the owner of copyright(s) or literary rights, as this information is subject to change. A general statement alerting the reader to possible limitations is preferable (e.g., "Certain restrictions as to the use or copying of these materials may apply.").

Below the text, include the number of linear feet of shelf space occupied, the approximate number of items in the collection, the number of containers, and the shelf number (if one has been assigned).

3.1D. Biographical sketch/Agency history

A brief chronological overview of the creator's or originator's life or the history of the originating agency follows the introduction to the finding aid. Include dates and events which are reflected in the collection as well as closure dates. Greater detail is recommended for individuals or organizations for which little information is available in standard reference sources; well-known figures require briefer coverage.

3.1E. Scope and content note

3. PREPARATION AND DISTRIBUTION OF THE FINDING AID

The scope and content note provides a concise abstract of the extent and depth of the collection. It summarizes the date span and bulk dates, the strengths, weaknesses, and gaps in the collection, the internal structure, the series distinctions, and the types of record groups it contains, usually in only one or two pages.

3.1F. Series description

Each series (and usually, each subseries) is described briefly; these descriptions are given in the order of the series in the collection. For each, summarize its contents, giving span dates and/or bulk dates, the type of documents included, and how they are arranged, from division into subseries to the lowest level of arrangement (e.g., chronological order within named folders of correspondence). A left-hand column gives the container numbers for each of the series (and often, the subseries). Optionally, a right-hand column may give the beginning page number in the finding aid for each series.

3.1G. Container list

The container list is a transcription of the titling information on the filing units (usually, the folders) of the collection. The container list includes location information (box number and, often, folder number) and, sometimes, a microfilm number (if applicable). The description of each folder's contents must match the wording of the respective folder's label.

3.1H. Appendixes

Cross-reference lists, indexes, etc. may be appended to finding aids only if they are necessary for access to the collection.

3.2. DESCRIPTION OF MATERIALS: CONTAINER LIST

When the entire collection has been rehoused and labeled, data entry can begin. For very large collections, data entry is occasionally begun when rehousing and labeling of a single series is completed. Technical instructions for data entry are found in Section 3.4 of this manual.

Levels of description (i.e., prescribed combinations of descriptive elements) have been established for many of the commonly used series designations. However, music description is discussed here element by element rather than summarized into levels of description.

3.2A. Music

Music manuscripts are often described at the item level. Because of the unique nature of archival collections, it is not possible to construct a list of descriptive elements which will be used for the music in every collection. The following is a discussion of the elements most commonly found in descriptions of music materials. They are listed in a general--but not invariable--order of importance and use; every descriptive element will not be used for each music score. The selection of which to include will be made by the processing specialist and noted on the workplan form.

The following comments regarding the description of manuscript and printed music are loosely based on instructions found in Anglo-American Cataloguing Rules, Second edition, 1988 Revision. However, these guidelines are much simplified from those found in AACR2, Revised, and in fact, they differ from AACR2, Revised on some points. Item-level description of music, as practiced in the A & P Section, is

3. PREPARATION AND DISTRIBUTION OF THE FINDING AID

not to be confused with cataloging.

3.2A1. Composer

In general, it is preferable to record the name of the composer in the form and spelling found in the Library's name authority file, accessible through MUMS. In some cases (e.g., a collection containing a large quantity of printed music by lesser-known composers), it may be desirable to transcribe the names exactly as they appear on the items; this must be noted on the workplan.

3.2A2. Title

The following rules apply to titles printed/written in the roman alphabet. Titles in non-roman alphabets are usually transliterated, rather than translated. (See 3.3K.)

Transcribe the title as it appears on each item. If the item has a title page, transcribe the title from the title page. Otherwise, the title may be taken from the caption or wherever else it may appear. See Style Guidelines for alphabetization (3.3B), capitalization (3.3C), and initial articles (3.3H).

A uniform title may be added in order to bring together different copies, editions, or versions of the same work. If the title on the item is incomplete, incorrect, non-existent, a variant, or in a language other than the original, or if the title contains a generic term like "symphony" or "sonata" (in English or another language), a uniform title should be constructed. The uniform title is enclosed in square brackets, and precedes the title proper, thus becoming the filing element.

[Messiah]
Der Messias

[Le nozze di Figaro]
The marriage of Figaro

[Sonata, cello, piano, no. 2, op. 109, D minor]
Sonate pour violoncelle et piano

[Symphony, no. 9, op. 125, D minor]
Beethoven's ninth symphony

If the title on the item in hand is in an abbreviated form and can be completed with additional words or portions of words enclosed in square brackets, then a uniform title need not be used.

Getting [to know you]
[Shall we] dance
W[e] k[iss] i[n] a s[hadow]

If the title appears in its original language as well as in a translation, record only the original title unless the translated title is needed to describe the item adequately. In such cases, file by the original title.

If the title appears in two or more languages and it cannot be determined which is the original title, make the most educated guess possible based on factors including (1) the nationality of the composer, (2) the language of the text (if any), (3) the place of publication, and (4) the size and prominence of titles on the title page. File by the supposed original title.

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3.2A3. Type of document

In most cases, the type of score (i.e., full score, sketch, etc.), the nature of the manuscript or imprint, and the pagination (if included) will be described in a single note. (See 3.2A3a-f and 3.2A4.)

Holograph full score in pencil; 10 p.

Copyist's piano-vocal score in ink; p. 101-110

3.2A3a. Scores

A score is defined as a series of staves on which the various instrumental and/or vocal parts of a musical work are notated in vertical alignment so that the parts may be read simultaneously. Preferred terminology for the various types of scores follows:

Chorus score : a score of a vocal work giving the chorus parts, with accompaniment (if any) arranged for a keyboard instrument.

Close score : a score giving all the parts on a minimum number of staves (normally two), as with hymns.

Condensed score : a score reduced to the principal musical features on a minimum number of staves, and generally organized by instrumental sections; note that a condensed score and a short score may be similar in appearance.

Full score : a score for an orchestral work with all of the individual parts notated on separate staves; note that a similar score for a chamber work is designated simply as a "score."

Lead sheet : manuscript or printed music giving the melodic line of a work, usually with some instrumental or harmonic indication (often in chord symbols); for vocal works, the text may be present.

Miniature score : a score not primarily intended for performance use, reduced in size.

Piano score : a reduction of an instrumental score to a version playable on the piano.

Piano-conductor score : a piano part for an ensemble work, to which cues have been added for other instruments.

Piano-vocal score : a score showing all vocal parts, with accompaniment arranged for a keyboard instrument.

Score : a score for a work for chamber ensemble with all parts notated on separate staves.

Short score : a score for an ensemble work, with the main features of the composition set out on a few staves and from which the complete score is derived; note that a condensed score and a short score may be similar in appearance.

Sketch : an incomplete draft of a work; may range from a few notes or chords to a full length draft lacking some elements of the finished work (depending on their completeness, the latter may be termed "short scores").

3.2A3b. Parts

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A part is defined as the music for one of the participating voices or instruments in an ensemble work. Parts may be designated individually or collectively (e.g., trumpet part, string parts).

A complete set of parts is designated simply as "parts"; completeness is assumed.

An incomplete set of parts may be designated in one of three ways:

Trumpet part only : if parts for only one or two instruments or choirs are present;

Parts (incomplete, string parts wanting) : if parts for only one or two instruments or choirs are missing; or

Parts (incomplete) : if parts for three or more instruments or choirs are missing.

3.2A3c. Other music

Leadsheets and music for an unaccompanied instrument or voice may be similar in appearance to parts, but these should not be confused with parts. See 3.2A3a for the definition of a leadsheet. Music for a solo performer is not technically a score; thus, it is described simply in terms of its pagination.

3.2A3d. Manuscripts may be described as follows:

Holograph ms. : a manuscript that is identifiably in the hand of the composer, with or without the composer's signature. A manuscript of an arrangement that is in the hand of the arranger may be designated an "Arranger's holograph."

Copyist's ms. : a manuscript copy in a professional hand other than that of the composer; a manuscript copy that does not appear to be the work of a professional copyist may be designated simply as a "Manuscript" or, more fully, as a "Manuscript in an unknown hand."

Photocopy : any copy reproduced from the original by photographic means, including Xerox, ozalid, blue line, black line, photostat, Thermofax, etc. Copies made by other types of processes should be specified individually (e.g., mimeograph or ditto). Any score that can be identified as computer-generated should be designated as such.

3.2A3e. The writing medium of manuscript items may be addressed (e.g., ink, colored pencil, etc.).

3.2A3f. Both manuscript and printed scores often have markings that are distinguishable from the main body of music or text. These may be identified as follows:

Annotations : any marginalia or emendations, corrections, additions, etc., to music or words. The terms "emendations" and "corrections" may be used to specify such annotations.

Pasteovers : alterations made by the use of pieces of paper added by glue, tape, pins, thread, or any other means.

3.2A4. Pagination

If the pagination is to be recorded, it usually follows the description of the type and nature of the document; it is preceded by a semi-colon.

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If the pages are numbered, the page count given is based on the numbering that appears on the item.

An item of 10 pages numbered 1-10 is described as "10 p."; an item of 10 pages numbered 101-110 is described as "p. 101-110."

If the pages are not numbered, the page count is enclosed in square brackets. Blank pages are not counted. Page counts for extensive items may be estimated and indicated without brackets; do not estimate the pagination of items with fewer than fifty pages.

[43] p.
ca. 300 p.

If a document consists of 30 pages numbered 1-29 with the last page unnumbered, record the page count as [30] p.

Any writing or printing, however brief, constitutes a page for counting purposes. Do not give page counts in fractions of pages.

If there are prefatory pages which precede the main body of the text, they need not be reflected in the page count unless they are highly significant. For example, an unnumbered title page preceding 10 numbered pages need not be counted. However, such prefatory pages might be included in the page count of a very important manuscript.

[1], 10 p.
2, 12 p.

A leaf is a single sheet of paper, parchment, etc. It consists of two pages: the recto (or front) and verso (or back). Optionally, if a document consists of a number of sheets of paper with the writing or printing on one side only, the page count may be given in terms of leaves. Spell out "leaf" and "leaves."

25 leaves

Page counts need not be recorded for instrumental or vocal parts.

3.2A5. Dimensions

The dimensions of an item are rarely given and, if given, are usually just a means of distinguishing two similar documents. When giving dimensions (always rounded up to the nearest whole centimeter), height is given first, height being the direction that text or music reads down the page. Do not give the width unless the width is greater than the height or less than half the height.

3.2A6. Additional notes

Additional notes may be included for significant manuscript materials. Possible types of notes are ordered as follows:

Form, medium, genre (e.g., Arranged for voice and orchestra; For piano solo)
Parallel title or other title information
Statements of responsibility (e.g., name of lyricist, arranger, or compiler)
Physical description (e.g., Red leather binding; Water-damaged)

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Accompanying materials (e.g., Laid in: . . . ; Bound with . . .)

Contents (e.g., titles in an anthology)

Other notes

Donor name, date

3.2B. Correspondence

3.2B1. Level 1 : Bulk arrangement and description (alphabetical or chronological)

A-G		1900-10
H-M	[or]	1911-20
N-Z		1921-35

3.2B2. Level 2 : Arrangement and description by correspondent's name

Individual folders are used for prominent correspondents (regardless of the number of items present) and correspondents represented by large numbers of items (regardless of their prominence). If multiple folders are required for a single correspondent, specify the number of folders. Correspondence of individuals and organizations that are neither prominent nor prolific may be placed in "miscellaneous" folders by first letter of last name (e.g., "G" miscellaneous). If more than one "miscellaneous" folder is needed for a given letter, the correspondence may be divided alphabetically (e.g., Ba-Bk and Bl-Bz). The "miscellaneous" folder(s) follows all folders designated with individual names for that letter of the alphabet. This level of description is rarely used; much more common is level 3 which includes dates.

Aarons, Alexander A.
Abramson, Max
Arlen, Harold (3 folders)
Astaire, Fred
"A" miscellaneous
Balanchine, George
Bayes, Nora
Bennett, Robert Russell (2 folders)
Berlin, Irving
"Ba-Bk" miscellaneous
"Bl-Bz" miscellaneous

3.2B3. Level 3 : Arrangement and description by correspondent's name, with span dates and, optionally, the number of items contained in the folder.

The abbreviation "n.d." is used to indicate undated items. An exception is that the term "undated" is used for a folder heading.

Aarons, Alexander A., 1910-19 (3 items)
Abramson, Max, 1902-27, n.d. (6 items)
Arlen, Harold
 1940-47 (30 items)
 1948-60 (25 items)
 Undated (3 items)
Astaire, Fred, 1925-35 (4 items)
"A" miscellaneous

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Balanchine, George, n.d. (1 item)
Bayes, Nora, 1903-07 (2 items)
Bennett, Robert Russell
 1942-65 (14 items)
 Undated (6 items)
Berlin, Irving, 1899-1914 (5 items)
"Ba-Bk" miscellaneous
"Bl-Bz" miscellaneous

3.2C. Iconography/Photographs

3.2C1. Level 1 : Number of folders

If few photographs are present or if they seem insignificant, it may be well to forego a subject arrangement and record only the number of folders or photographs (if very few).

3.2C2. Level 2 : Subject, number of folders

If there are enough photographs to warrant multiple folders, the photographs may be grouped by subject. The subject designation from the folders is recorded, as well as an indication where there are multiple folders devoted to a single subject.

Kreisler alone, early
Kreisler alone, late (2 folders)
Kreisler with others (3 folders)
European tour, 1939

3.2C3. Level 3 : Subject, and other identifying information such as: medium, size, photographer, inscriptions, provenance, dates, number of items (or folders)

Kreisler alone
 Portraits by Alfred Stieglitz (2 folders)
 Portraits by miscellaneous and unidentified photographers (4 folders)
 Snapshots (2 folders)

3.2D. Scrapbooks

3.2D1. Level 1 : Number of volumes, date span (if discernible)

Bound scrapbooks (6)
 [or]
Scrapbooks (2), 1940s-80s

3.2D2. Level 2 : Title (if any), subject matter, type of documents included (if unusual or notable), date span (if discernible)

Note that scrapbooks are numbered.

[No. 1] Concert programs and critical reviews, 1930-39
[No. 2] Concert programs and critical reviews, 1940-49

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[No. 3] Concert programs and critical reviews, 1950-59

[No. 4] Photographs, clippings, etc. from Heifetz's trip to South America, 1955

3.2E. Books

3.2E1. Level 1 : Author, title

3.2E2. Level 2 : Author, title, place of publication, publisher, date; any inscription or markings

3.2F. Clippings

3.2F1. Level 1 : Number of folders or boxes

If clippings are not organized at all, only the number of containers is recorded.

3.2F2. Level 2 : Date span by decade, number of folders

Clippings, 1920s-60s, n.d. (5 folders)

3.2F3. Level 3 : Subject (if applicable), date spans (per folder), any other distinguishing features such as language. This level is rarely used and only if clippings were given subject organization prior to their transfer to LC.

Kreisler as composer

1910-25

1926-42

1943-51, n.d.

Kreisler as performer, 1924-42

in English (4 folders)

in German and Dutch

Kreisler as teacher, 1910-58, n.d.

3.2G. Other textual materials (e.g., biographical materials, writings, legal papers, financial papers, subject files)

Descriptions of such materials should generally include both the title or type of material and a date or date span (if known). Further description depends on the nature and quantity of the materials and their relative importance in the collection.

3.2H. Artwork

Because artwork is somewhat tangential to most Music Division special collections, the descriptions of artwork are much less detailed than would be the case at an art museum.

Factors to consider in the description of art material include:

subject: the person(s) or thing(s) depicted and

medium: the nature of the work or the materials employed in the creation of the work (i.e., oil painting, watercolor, lithograph, etching, pencil drawing, sketch, or sculpture).

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3.2H1. Level 1 : Batch description

Artwork may be grouped according to one or more of the following unifying characteristics: medium, subject, and name of artist. The quantity may be recorded as the number of folders or items.

Costume designs for Zenda
Drawings of Jascha Heifetz by Prentiss Taylor (2 folders)
Engraved portraits of Beethoven (15 items)

3.2H2. Level 2 : Item-level description

Significant artwork is generally given item-level description. Descriptive elements may include: subject and/or title, type, name of artist, and one or more of the following: medium, base material, and date.

Charles Martin Loeffler (portrait), pencil drawing
Fritz Kreisler (portrait), oil on canvas, by Howard Chandler Christy, 1943
"My Body" (self-portrait of Ira Gershwin), oil on canvas
Folly Beach, South Carolina, watercolor, by Henry Botkin
Otto Klemperer (bust), bronze, by Alma Mahler

Items not housed with the collection (e.g., an oil painting hanging in the Performing Arts Reading Room) should be included in the container list and their location given.

3.2I. Realia

3.2I1. Level 1 : Type of object, number of items

Death mask of Victor Herbert
Conducting batons (5)

3.2I2. Level 2 : Item-level description

Descriptions of individual objects generally include the type of object, and one or more of the following: physical description, date, provenance, and other significant information.

Metronome, ca. 1911, owned by George Gershwin
Linen napkin presented to Richard Rodgers on his 65th birthday, 1967 June 28
Shawl, worn by Geraldine Farrar as Carmen
Souvenir fragment of stage curtain from Old Metropolitan Opera House, framed

3.3. STYLE GUIDELINES

3.3A. Abbreviations and contractions

Abbreviations, contractions, and names beginning with "Mc" and "Mac" are transcribed and alphabetized exactly as written. Disregard apostrophes when alphabetizing.

Preferred abbreviations for many commonly used musical and non-musical terms can be found in Appendix B of AACR2, Revised.

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3.3B. Alphabetization

Alphabetize names and titles word by word.

Samples of properly entered and alphabetized names and titles are listed below. For fuller discussions of this matter, consult Library of Congress Filing Rules, by John C. Rather and Susan C. Biebel (Washington: Library of Congress, 1980) as well as sections 3.3A, C, F, G, H, I, K, L, and N of this manual.

Names

A. P. Schmidt Co.	Odetta
Arrieta y Corera, Pasqual	O'Hara, Geoffrey
Baker, Dame Janet	Pears, Sir Peter
Benda, Hans von	Plançon, Pol
Collard, Jean-Philippe	Rääts, Jaan
Copland, Douglas	Reese, Della
Copland, Douglas Berry	Saint, Eva Marie
Dal Monte, Toti	Saint-Saëns, Camille
DeGaetani, Jan	St. John, Jill
DuPré, Jacqueline	Tomášek, Jaroslav
Edward MacDowell Assn., Inc.	Töpfer, Johann Gottlob
Falla, Manuel de	Van, Bobby
G. Schirmer, Inc.	Van Vechten, Carl
Glanville-Hicks, Peggy	Vandagriff, Janet
Hart, Kitty Carlisle	Varnay, Astrid
Härtwig, Dieter	William A. Pond & Co.
Hammerstein, Oscar	Zur Mühlen, Raimund von
Hammerstein, Oscar, II	
Indy, Vincent d'	
Irving Berlin Music Corp.	
Johnson, J. Rosamond	
Johnson, James Weldon	
Kálmán, Emmerich	
Kämpf, Karl	
La Montaine, John	
Laderman, Ezra	
MacArdle, Donald	
Macbeth, Florence	
Mackay, Clarence	
MacRae, Gordon	
Mahler, Gustav	
Mana-Zucca	
McCoy, Seth	
McRae, Carmen	
Meale, Richard	
Newton, Wayne	
Newton-John, Olivia	
Ochs, Siegfried	
O'Connell, Charles	

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Titles

1, 2, 3	Mr. Bojangles
23rd psalm	Mrs. Frumpington's song
25 or 6 to 4	M'sieur Gaston
110 in the shade	O vos omnes
A la porte de l'aube	The octopus song
A my name is Alice	Oh! don't you remember
Across the aisle	One hundred songs of Ireland
The bird and the brook	The one hundredth psalm
I Capuletti ed i Montecchi	I puritani
Dancin' with my mirror	Das Rheingold
Dancing in the moonlight	X-ray blues
Do-re-mi	La xenophone
Le docteur Miracle	Xmas medley
Doctor Zhivago march	Your lucky star
Does she ever mention me?	You're breaking my heart
Dr. Kane's Arctic polka	Ze English language
Du bist wie eine Blume	The zebra
The Duke of Marlborough fanfare	
Easter parade	
Ernest Lecuona guitar album	
Der erste Tanz	
Die Fischersmädchen	
Go not, happy day	
The gods bestow	
God's grandeur	
The gods of the mountain	
A hundred years from now	
I do! I do!	
I only have eyes for you	
Idylle poétique	
I'll be seeing you	
The illustrators' show	
I'm a yankee doodle dandy	
Les images charmantes	
I've gotta crow	
An ivy-covered cottage	
Je suis d'la r'vue	
L. A. woman	
L stands for lovers	
La ci darem la mano	
The La Grange waltz	
Là-haut!	
La la Lucille	
L'il Abner	
Lil' my Easter lily	
Mister Dee Jay	
Mistress of my heart	

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3.3C. Capitalization

Capitalize only the first word and any proper nouns in most titles. Observe any special language requirements (e.g., capitalize all nouns in German).

3.3D. Cross-references

For cross-references in the body of the container list, use the following format ("see" and "see also" in italic type, preceded and followed by two spaces):

"see" references (to refer the user to the actual location of the entry):

ASCAP *see* American Society of Composers, Authors, and Publishers
Crawford, Ruth Porter *see* Seeger, Ruth Crawford

"see also" references (rarely used; to refer the user to another relevant entry):

Boston Symphony Orchestra *see also* Koussevitzky, Serge
Montealegre, Felicia *see also* Bernstein, Leonard

3.3E. Dates

For dates of birth and death occurring within a century, the century is included in the second date (e.g., 1910-1989).

For inclusive dates of documents or events occurring within a century, the century is not included for the second date (e.g., 1940-45). However, the second date is given with two digits (e.g., 1917-18). An exception to this is when the first date is a multiple of 100; in this case, the century is added for the second date (e.g., 1900-1905).

Dates which include the month, day, and year are given in inverted order (e.g., 1942 Nov. 10), using the following abbreviations:

Jan.	Mar.	May	July	Sept.	Nov.
Feb.	Apr.	June	Aug.	Oct.	Dec.

Decades may be recorded as span dates (e.g., 1940-49) or as a contraction without an apostrophe (e.g., 1940s). If materials are divided by decade, it is preferable to begin each grouping with the multiple of ten (e.g., 1940-49, 1950-59, 1960-69, etc., as opposed to 1940-50, 1951-60, 1961-70, etc.).

When recording the span dates of materials, gaps of more than five years between dated items may be indicated. Thus, a folder with five items dated 1940, 1941, 1943, 1944, and 1948 is appropriately labeled "1940-48." However, if that same folder also contained an item dated 1970, it would be best labeled "1940-48, 1970" (rather than "1940-70," which might mislead the reader).

3.3F. Diacritical marks

When transcribing names and titles containing diacritical marks, include those marks:

Béla Bartók

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Karl Böhm
Teresa Carreño
Antonin Dvorák

When alphabetizing names and/or titles with diacritical marks, disregard the diacritical marks. This rule applies to German words containing a, o, or u with umlauts (i.e., ä, ö, or ü); do not follow the former practice of treating these letters as ae, oe, and ue, respectively. In the example below, note that the ö is treated as an unmodified o.

Döbber, Johannes
Dobos, Kálmán
Doerr, Ludwig
Dohnányi, Ernst von
Dörffel, Alfred
Doss, Adolf von

3.3G. Hyphens

Words connected by a hyphen (including compound surnames) are treated as separate words when alphabetizing. (See 3.3B.)

3.3H. Initial articles

Disregard initial articles in most titles when alphabetizing, but do not invert. Anticipated advancements in software will likely make it possible to suppress initial articles when alphabetizing. (See additional examples in 3.3B.)

Les roses d'Ispahan
La traviata
The way we were
Die Zauberflöte

An exception is that non-English-language initial articles in place names are regarded when alphabetizing.

El Paso Symphony Orchestra
La Jolla Civic Opera
Las Vegas Bluegrass Festival
Los Angeles Philharmonic Orchestra

See also 3.3N, regarding surnames with articles as prefixes.

3.3I. Initials and acronyms

Initials and acronyms separated by punctuation or spaces are treated as separate words; acronyms and initials not separated in any way are treated as single words regardless of capitalization. (See 3.3B.)

Corporate bodies which are also known by their initials or acronyms are filed under the complete form; a cross-reference may be made from the shortened form (e.g., M.L.A. see Music Library Association).

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3.3J. Italic type, underlining, and quotation marks

In general, all information in the body of the text (excluding headers, footers, series designations, etc.) is presented in roman type without the use of italics, underlining, or quotation marks. An exception to this should be made only when necessary for purposes of clarity. In that case, titles of short works (e.g., songs, poems, or articles) are enclosed in quotation marks, and titles of larger works (e.g., operas, symphonies, or books) are in italic type.

3.3K. Non-English titles

Titles in non-English languages that use the roman alphabet are transcribed as given, including modified letters and diacritical markings. The following titles are for works in Italian, French, and German, respectively.

Il tormento di Chopin
La vie de Frédéric Chopin par l'image
Wenn Chopin ein Tagebuch geführt hätte

In rare instances, the language of the text or lyric is added in parentheses for titles not in French, German, Italian, and Spanish. Similarly, the language may be added if the title gives no indication of that language.

Chopin-Wagner-Mahler (in Polish)
F. Chopin (in French)
Jak sluchac muzyki wspolczesnej (in Polish)

For materials in more than one language, the languages may be given in parentheses.

Bibliografia chopinowska (in Polish and English)

For titles in non-roman alphabets, the title is transliterated. Optionally, an English translation of the title may be given in square brackets or the language of the text or lyric may be given in parentheses.

Shopen i pol'skaya narodnaya muzika [Chopin and Polish folk music]
Shopen i Shuman (in Russian)

Library staff members (outside the Music Division) with foreign language expertise may be consulted with the occasional problem; do not plan to ask such persons to undertake large-scale translating projects. Consult the section head before contacting these persons.

3.3L. Numerals

Numerals precede letters in an alphabetical arrangement; titles beginning with numerals are arranged in ascending numerical order and precede those beginning with letters or words. Roman numerals are treated as their arabic equivalents (e.g., XXIII is treated as twenty-three). Ordinal numbers follow their cardinal equivalents (e.g., 5, 5th, 6, 6th). Titles beginning with numbers that are spelled-out (e.g., Three blind mice, The twelfth of never) are alphabetized along with other words.

3.3M. Opus and other catalog numbers

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Record opus numbers following a title separated by commas; do not capitalize.

Es ist ein Ros entsprungen, op. 122, no. 8
Lieber Gott, du weisst, op. 104, no. 4
Schicksalslied, op. 54
Sextet, strings, no. 2, G minor, op. 36
Sonata, violin, no. 2, G major, op. 78
Symphony, no. 3, F major, op. 90

Thematic catalog designations are generally capitalized:

Requiem, K. 626
Wachet auf, ruft uns die Stimme, BWV 140
Trio in B-flat major, D. 471

3.3N. Surnames with prefixes

Rules for entering and alphabetizing surnames with prefixes are based on the individual's language or country of residence or activity. Note that the "language or country . . ." may differ from the ancestry of the individual's name. Thus, "Frederica Von Stade" is treated as an English name ("Von Stade, Frederica") because she is American--and not as a German name ("Stade, Frederica Von"), even though her heritage is German.

English and Italian names are entered under the prefix.

De Koven, Reginald	Del Monaco, Mario
Van Allan, Richard	La Rotella, Pasquale

Most French and German names are entered under the part of the name following the prefix.

Indy, Vincent d'	Beethoven, Ludwig van
Machaut, Guillaume de	Hofmannsthal, Hugo von

An exception is that French and German names with prefixes consisting of an article or a contraction of an article and a preposition, which are entered under the prefix.

Du Locle, Camille	Aus der Ohe, Adele
L'Affilard, Michel	Zur Nieden, Albrecht

A fuller discussion of this topic, including additional examples and the rules for additional languages, can be found in AACR2, Revised, section 22.5D. The Library's name authority file may also be consulted.

3.4. DATA ENTRY FOR THE FINDING AID

The following guidelines constitute a model as well as a "best practices" for data entry using a word processing program. The finding aid will have two stages. The first stage being a generic word processing document(s) formatted for QC processing. The second stage being a conversion of the final document to XML in the current EAD tag set. These guidelines will cover the first stage of finding aid

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creation only.

The choice of a database program for data entry should be done in consultation with and under the supervision of the local network administrator and section head.

3.4A. General instructions

For most collections, the processing specialist obtains or creates two computer files – front matter and the container list. For large collections, the container list will consist of multiple files, with a separate file for each series (see 3.4B2). If there is to be an index or other appendix, an additional file(s) must be created (see 3.4B3).

Word processor special features and formatting options are discouraged and will not be retained in the finished document. For special needs, consultation with the formatting is suggested.

Type all text flush to left margin except where tabs or indents are required.

3.4A1. Diacritics

Characters that require special keystrokes beyond the standard English keyboard alphabet should be inserted using the Character Map utility. On a Windows 2000 workstation the Character Map utility can be opened at: Start> Programs> Accessories> System Tools> Character Map.

The Character Map window should have the following settings:

Font: Times New Roman

Advanced view: (NOT selected)

The local network administrator can orient the user to this application for data entry needs.

3.4B. Specific guidelines for typing and saving text

3.4B1. Front matter

Font: Times New Roman 11pt

Margins:

Top = 0.8"

Bottom = 0.6"

Right = [Default: 1"]

Left = [Default: 1"]

Tab Set = [Default: every .5" from the left margin]

Comment:

All front matter will have the cover page information, a Hard Return [HPg], table of contents, and an introduction.

Most finding aids will have one file for all front matter. As a consequence, use Hard Page [HPg] to create a new page for each section of the front matter.

Lengthy front matter sections will be easier to control as separate documents.

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3.4B1a. Cover page and Table of Contents

Font: Times New Roman 11pt (bold)
Line: Two Hard Returns [HRt][HRt]
Line: the collection name (upper case)
Line: Two Hard Returns [HRt][HRt]
Line: "LIBRARY OF CONGRESS WASHINGTON [YYYY]"
Line: Hard Page Return [HPg]
Line: Two Hard Returns [HRt][HRt]
Line: "Table of Contents" (bold)
Line: Two Hard Returns [HRt][HRt]
Line: Begin table of contents using Tab as needed.
Line: Hard Page Return [HPg]

Comment:

The Table of Contents will not include page number. These will be generated by the final formatting of the finding aid.

The introduction will be the following page.

3.4B1b. Introduction

Line: Two Hard Returns [HRt][HRt]
Line: "Introduction" (bold, italic)
Line: Two Hard Returns [HRt][HRt]
Paragraphs:
 Begin: Tab
 End: Two hard returns [HRt][HRt]
Line: "Linear ft. of shelf space: " [Enter shelf space in feet and inches.]
Line: One Hard Return [HRt]
Line: "Approximate number of items: " [Enter item count]
Line: One Hard Return [HRt]
Line: "Number of Containers: " [Enter container count]
Line: One Hard Return [HRt]
Line: "ML..." [Enter call number if known]
Line: Two Hard Returns [HRt][HRt]
Save as: johnsonT_fa_frt_intr.wpd

3.4B1c. Biographical Sketch/ Agency History/ Genealogy Chart

Line: name of collection (bold)
Line: Two Hard Returns [HRt][HRt]
Line: "Biographical Sketch" (bold, italic)
Line: Two Hard Returns [HRt][HRt]
Paragraphs:
 Begin: Tab
 End: Two hard returns [HRt][HRt]
Genealogy format: (see comment below)
Tabular Chronology format:
 Tab Set = Format>Line>Tab Set

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Clear All
Tab Type: Left [Default]
Tab Position: 2.2"
From Left of page of page (absolute)
Repeat every: 0.2"
Set
Close
Line: "1960"[Indent]"Joseph Johnson born in"
Line: Two Hard Returns after each entry [HRt][HRt]
Save As: johnsonT_fa_frt_bio.wpd

Comment:

Suggested headings for this section are as follows:

Agency Sketch
Biographical Note
Biographical Sketch
Genealogy Chart
Organizational History

For Genealogy format, create a comprehensible genealogy using tabs and keyboard characters ("-" hyphen = horizontal line ; "|" pipe for vertical line ; " "spacebar to position these). Word processor special features and formatting options are discouraged and will not be retained in the finished document. Consultation with the formatting is suggested.

3.4B1d. Scope and Content Note

Line: name of collection (bold)
Line: Two Hard Returns [HRt][HRt]
Line: "Scope and Content Note" (bold, italic)
Line: Two Hard Returns [HRt][HRt]
Paragraphs:
Begin: Tab
End: Two hard returns [HRt][HRt]
Save As: johnsonT_fa_frt_scp.wpd

3.4B1e. Description of Series

Line: name of collection (bold)
Line: Two Hard Returns [HRt][HRt]
Line: "Description of Series" (bold, italic)
Line: Two Hard Returns [HRt][HRt]
Tab Set = Format>Line>Tab Set
Clear All
Tab Type: Left [Default]
Tab Position: 2.2"
From Left of page of page (absolute)
Repeat every: 0.2"
Set
Close
Line: "Container No."[Indent]"Series"

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Line: One Hard Return [HRt]
Insert Graphic Line = Insert>Line>Horizontal
Line: One Hard Return [HRt]
Line: "1-20"[Indent]"Music"
Line: One Hard Return [HRt]
Line: [Indent][Indent]"The Music series..."
Save As: johnsonT_fa_frt_desc.wpd

Comment:

Type the actual container numbers, indent once, and then the series information. Use additional indents as needed for information under each series title. Add two hard returns between each series.

3.4B2. Container List

Font: Times New Roman 10pt
Margins:
Top = 0.8"
Bottom = 0.6"
Right = [Default: 1"]
Left = [Default: 1"]
Tab Set = Format>Line>Tab Set
Clear All
Tab Type: Left [Default]
Tab Position: 2.2"
From Left of page of page (absolute)
Repeat every: 0.2"
Set
Line: Type the collection name
Line: Two Hard Returns [HRt][HRt]
Line: "Container List" (bold, italic)
Line: Two Hard Returns [HRt][HRt]
Line: Type the series title (bold, caps)
Line: Two Hard Returns [HRt][HRt]
Line: "Box/Folder"[Indent]"Contents"
Line: One Hard Return [HRt]
Insert Graphic Line = Insert>Line>Horizontal
Line: One Hard Return [HRt]
Line: "1/1"[Indent]"High School Diploma"
Save As: johnsonT_fa_cnt.wpd

Comment:

Series title:

Format: Left Margin, Uppercase, and bold
Preceding space: Three Hard Returns [HRt][HRt][HRt]
Following space: Two Hard Returns [HRt][HRt]
Exception: First series in container list is preceded by two Hard Returns.

Subseries title:

Format: One indent from Left Margin, Initial Capitals, and bold
Preceding space: Two Hard Returns [HRt][HRt]

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Following space: Two Hard Returns [HRt][HRt]

Exception: Child Sub-subseries gives additional underlining to parent Subseries title and reduces following space to only one Hard Return [HRt].

Sub-Subseries title:

Format: One indent from Left Margin, Initial Capitals, and bold

Preceding space: Two Hard Returns [HRt][HRt]

Following space: Two Hard Returns [HRt][HRt]

Exception: Child Sub-subseries gives additional underlining to parent Sub-Subseries title and reduces following space to only one Hard Return [HRt].

For a larger collection file naming conventions:

<i>Series</i>		<i>Syntax</i>
Artwork	=	[johnsonT_fa_cnt_]art[.wpd]
Biographical or Biography	=	bio
Books	=	books
Clippings	=	clipping
Correspondence	=	corr
Correspondence-family	=	corr-f
Correspondence-general	=	corr-g
Correspondence-personal	=	corr-p
Financial	=	finance
Legal	=	legal
Memorabilia	=	memorabi
Music-arrangements	=	musarr
Music-by [Initials]	=	musby
Music-by Others	=	musbyoth
Music-manuscript	=	musmss
Music-printed	=	musprt
Photographs	=	photos
Programs	=	program
Realia	=	pealia
Scrapbooks	=	pcrpbks
Subject Files	=	pubject
Writings	=	wrt
Writings-by [Initials]	=	wrtby
Writings-by Others	=	wrtbyoth

3.4B3. Appendix/index

Font: Times New Roman 11pt

Margins:

Top = 0.8"

Bottom = 0.6"

Right = [Default: 1"]

Left = [Default: 1"]

Line: name of collection (bold)

Line: Two Hard Returns [HRt][HRt]

Line: [Title of Appendix or Index] (bold)

Line: Two Hard Returns [HRt][HRt]

Save As: johnsonT_fa_app1.wpd

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Comment:

Content and format of appendices or indexes is created by the user. Word processor special features and formatting options are discouraged and will not be retained in the finished document. Consultation with the formatting is suggested.

3.4C. File Management

Master copies of data entry files should be created and updated on a routine basis.

Working draft files should be located on the workstation hard drive.

Removable disks, USBs, and network drives should only be used as temporary storage devices for relocation.

3.5. EDITING AND APPROVAL PROCESS FOR THE FINDING AID

The following approval process for finding aids is intended as a final review of the finding aid document itself; this is not a review of the processing of the collection. The arrangement of the collection will have been approved in the form of the workplan and it is understood that the workplan will have been followed. Only in the most unusual case will there be any cause to comment on the processing.

During the entire editing and approval process, the processing specialist is responsible for both the content and format of the finding aid.

3.5A. Designated formatting technician

Once the data entry is completed, the files are given to the formatting technician for assembly and final formatting. An archive is made for the files. Once assembled, the final document is sent to the section head as well as the specialist in charge of processing the collection. The section head sends the final document to the processing specialist.

3.5B. To the processing specialist

The processing specialist reviews for spelling, capitalization, punctuation, and content. Corrections are made in the computer files and corrected page(s) are printed out; the date is written in ink at the upper right-hand corner of the page(s). Corrected page(s) are forwarded to processing specialist for review.

The processing specialist reviews the corrections. [If further corrections are necessary, they are made in the computer files; corrected page(s) are printed out and dated, as above, and inserted into previous print out; if the corrections are extensive, the entire finding aid is re-printed.] The word "DRAFT" is stamped on each page of the finding aid. The processing specialist forwards the completed draft to the head of the Acquisitions & Processing Section for review.

3.5C. To the section head

The section head reviews and comments on any aspect of the completed draft of the finding aid including general appearance, accuracy, readability, usability, and typographical errors.

Any necessary corrections are made in the computer files and corrected page(s) or section(s) are printed out; the date is written in ink at the upper right hand corner of the page(s) and the page(s) are inserted

3. PREPARATION AND DISTRIBUTION OF THE FINDING AID

into the previous print out; if corrections are extensive, the entire finding aid is re-printed. The processing specialist returns the draft to the section head for approval. The section head selects a music specialist from the A & P Section who will serve as the reviewing specialist. The section head forwards the draft to the reviewing specialist and sets a deadline for completion of the review.

3.5D. To the reviewing specialist

The reviewing specialist reviews and comments on any aspect of the finding aid, but should focus on the technical aspects of the finding aid and its conformity to the provisions of the Processing Procedures Manual. The reviewing specialist should return to the section head any finding aid which appears to have an unreasonable number of errors (typographical, factual, or otherwise).

The section head discusses with the processing specialist any changes/suggestions made by the reviewing specialist. The section head and the processing specialist agree on which changes/suggestions to incorporate and how to do so.

Any necessary corrections are made in the computer files and corrected page(s) or section(s) are printed out; the date is written in ink at the upper right hand corner of the page(s) and the page(s) are inserted into the previous print out; if corrections are extensive, the entire finding aid is re-printed. The processing specialist forwards the copy to the head of the A & P Section who forwards it to the head of the Reader Services Section who, in turn, assigns it to a Reader Services specialist for review and comment.

3.5E. To the Reader Services specialist

The Reader Services specialist reviews the finding aid chiefly for clarity and usability but is asked to note any typographical, factual, or other errors. A deadline is established for return of the draft (with comments) to the A & P Section head. It is the responsibility of the A & P Section head to make inquiry if the return of the finding aid is past due.

After reviewing the comments of the Reader Services specialist, the A & P Section head returns the draft to the processing specialist and discusses suggested changes, if necessary.

Any necessary corrections are made in the computer files and corrected page(s) or section(s) are printed out; the date is written in ink at the upper right hand corner of the page(s) and the page(s) are inserted into the previous print out; if corrections are extensive, the entire finding aid is re-printed. The processing specialist forwards this "final draft" to the A & P Section head who forwards it to the division chief for review.

3.5F. To the division chief

The division chief approves the final draft, once any comments made by the chief are incorporated into the final version.

Any necessary corrections are made in the computer files and corrected page(s) are printed out; the date is written in ink at the upper right hand corner of the corrected page(s) and the page(s) are inserted in the final version of the finding aid.

3.6. FORMATTING OF PAPER VERSION FOR THE FINDING AID

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The designated formatting technician reviews the final document and resolves any remaining formatting issues. The final document is fitted with the current approved formatting standard. The document then receives unique id, file name (aggregate, year, and number currently available in the naming convention series), and becomes a master source document. All future editing, additions, and upgrades are submitted in the form of corrected hard copies to the designated formatting technician who alone implements these changes. This master source document is used for the internal and external finding aid publishing and conversion workflows. The master remains in the hands of the designated formatting technician who maintains the master document repository.

A sample finding aid fitted with current approved formatting standard can be obtained at the staff finding aid page.

3.7. FINAL DISPOSITION OF THE FINDING AID

The heads of the Acquisitions & Processing and Reader Services Sections arrange for the specialist and technician(s) who worked on the project to make a presentation on the collection and its finding aid to the division staff.

3.7A. World Wide Web Access

The finding aid will be published on the division web site for viewing and download on request.

3.7B. Printed hard copy location(s)

The section will apply the current policy for printing the finding aid and placing copies of it in various locations for the division and readers.

3.7C. Related documentation

Any documents generated during the processing of the collection which are judged by the specialist to warrant retention should be added to the collections file. Examples of such documents are correspondence and photocopies of the Agreement of Deposit or Instrument of Gift. Drafts of the finding aid or label request forms are not retained in the collections file.

Information about significant correspondence in the collection is added to the division's Index to Literary Manuscripts in Selected Collections. (This index is currently in the form of a card index and is known as the "Salmon File;" cards must be typed or printed from the finding aid and interfiled. It is anticipated that this file will be automated in the future and that new information may be added directly from the finding aid.)